

**UNITED STATES DEPARTMENT OF AGRICULTURE  
FOOD SAFETY AND INSPECTION SERVICE  
WASHINGTON, DC**

# FSIS NOTICE

83-06

12/5/06

## PERFORMANCE-BASED INSPECTION SYSTEM (PBIS) VERSION 5.1.6

### I. PURPOSE

FSIS has modified PBIS so that completing plant profile extensions and surveys will be done as part of the scheduled food safety activities of FSIS inspection program personnel. In December 2006, inspection program personnel will begin using PBIS version 5.1.6. This notice explains the changes made to PBIS and provides instructions to inspection program personnel how to use this version of PBIS. The major changes in PBIS 5.1.6 relate to Hazard Analysis and Critical Control Point (HACCP) noncompliance reports (NR), the addition of procedure result codes, and the addition of a new code to document that a new profile extension or survey has been completed or an existing profile extension has been updated.

### II. BACKGROUND

Inspection program personnel provide a substantial amount of the data. These data provide the basis for the critical decisions that the Food Safety and Inspection Service (FSIS) regularly make in verifying that meat, poultry, and processed egg products are safe. FSIS employees generate these data daily by performing such activities as recording verification procedure results, food defense verification results, completing Agency-derived surveys, and updating establishment profiles. Inspection program personnel perform food defense verification procedures that produce critical data for the Agency. PBIS 5.1.6 also has a new feature that allows HACCP 02 procedures to be associated with a HACCP 01 noncompliance.

### III. NEW FEATURES IN PBIS VERSION 5.1.6

A. When inspection program personnel determine that there is noncompliance while performing a HACCP 01 procedure (03B01–03J01), they then perform a HACCP 02 procedure (03B02–03J02) as indicated in the FSIS Directive 5000.1, Revision 2, Amendment 1, “Verifying an Establishment’s Food Safety System.” Inspection program personnel are to associate the completed HACCP 02 procedure to the HACCP 01 procedure noncompliance in PBIS using the Procedure Results screen. Inspection program personnel are to:

**DISTRIBUTION:** Inspection  
Offices; T/A Inspectors; TSC;  
import offices

**NOTICE EXPIRES:** 1/1/08

**OPI:** OPPED

1. select the appropriate HACCP 02 procedure;
2. click the "Update" button;
3. type "E" to edit the association between the HACCP 02 procedure with an HACCP 01 NR, and Click "OK"; and
4. select the appropriate HACCP 01 NR from the list and click "OK"

To break the association between an HACCP 02 procedure and an HACCP 01 NR, go to File/Update/Procedure Results from the PBIS pull-down menu and

1. select the establishment and shift of interest and click "OK";
2. select the appropriate HACCP 02 procedure;
3. click the "Update" button;
4. type "E" to edit the association and click "OK"; a prompt will appear showing the associated NR;
5. click "Yes" if to break the association; and
6. click "No" or "Cancel" to maintain the association.

The result status of linked HACCP 01 NRs may be viewed by going to Reports/Results/ NR Status from the PBIS pull-down menu.

B. The following are new result codes:

**"U-Performed PE/Survey:"** Inspection program personnel are to use this new code to document that they have completed a new profile extension, updated an existing profile extension, or completed a survey in lieu of performing a specific scheduled food safety procedure or an unscheduled food defense verification procedure as indicated in FSIS Directive 5420.1, "Homeland Security Threat Condition Response - Food Defense Verification Procedures."

The following three codes replace the "B-Not Performed" code:

**"1-Plant not operating:"** Inspection program personnel are to select this code when the plant is not in operation that day.

**"2-No Process/Slaughter:"** Inspection program personnel are to select this code on days where the process is not in production or when the plant is not slaughtering.

**"3-Not Performed, Other:"** Inspection program personnel are to select this code when they do not perform activities for reasons other than 1 and 2 above.

C. PBIS 5.1.6 also includes an optional feature that permits inspection program personnel to view and print profile extensions and surveys. To view completed extensions or surveys for a specified establishment, inspection program personnel are to select an establishment from the establishment (**Est.**) drop-down menu and click the **Report** button. Enter the number **1** in the prompt window, and then click on **OK**. Inspection program personnel are to enter number **2** for a complete list of questions and possible responses of all profile extensions or surveys, or the number **3** for a list of establishments with incomplete or partially-completed profile extensions or surveys, and then click **OK**. Inspection program personnel may print each report type by selecting **File** and **Print** on the main menu of the report screen.

#### IV. PROFILE EXTENSIONS AND SURVEYS

A. FSIS uses PBIS data to direct specific profile extensions and surveys to those establishments where they are most likely to apply in order to avoid asking inspection program personnel to complete surveys unnecessarily. For example, PBIS will send a survey regarding beef processing only to plants whose profile data show that they process beef, and it will not send that survey to plants whose data show that they only slaughter poultry.

1. Profile extensions - FSIS uses the extension to collect establishment-specific information on an ongoing basis. PBIS will alert the Inspectors-in-Charge (IICs) to review and update profile extensions as often as the Agency deems necessary. Every new extension notification will specify a frequency, as determined by Agency management, at which the IIC is to review and update the extension. The frequency is specified in the PBIS onscreen help text for each profile extension.

a. To access Establishment Profile Extensions, select File/Update/Establishment Profile Extensions from the PBIS pull-down menu. After PBIS establishes an FSIS intranet connection, a web-based Establishment Profile Extension window will appear. Then perform the following three steps:

- i. select an establishment from the drop-down list;
- ii. select a profile extension from the drop-down list; and
- iii. click on the **Show Extension** button.

b. The IIC enters, reviews, and maintains the data in the profile extensions. For example, if an establishment makes changes to its food defense plan, the IIC updates the responses to the food defense profile extension (refer to FSIS Notice 28-06, "PBIS Profile Extension Instructions on Food Defense Plans for Meat and Poultry Establishments").

**NOTE:** The IIC also maintains the data in the PBIS Establishment Profile. If an establishment makes changes to its products, processes, or operational characteristics, the IIC is to promptly update the profile using the **U-Performed PE/Survey result code**. The IIC is to be fully aware of the establishment's operational characteristics to keep the establishment profile current and updated, especially when the assignment is a rotational assignment.

2. Surveys are designed to collect specific information pertaining to the establishment's operations. PBIS surveys have an expiration date, and inspection program personnel are to complete the survey before it expires. After the survey expires, inspection program personnel can no longer complete it.

To access surveys, select File/Update/Establishment Surveys from the PBIS pull-down menu. After PBIS establishes an FSIS intranet connection, a web-based

Establishment Survey window will appear. Then perform the following three steps:

- a. select an establishment from the drop-down list;
- b. select a survey from the drop-down list, and
- c. click the **Show Survey** button.

B. Inspection program personnel will receive an e-mail or PBIS alert when they are to complete a profile extension or survey. Inspection program personnel may also receive an e-mail or PBIS alert instructing them to review and update existing profile extensions, generally on an annual basis.

C. To provide time to complete the profile extension or survey, the e-mail or PBIS alert will specify the scheduled Sanitation Performance Standard (SPS) procedures, Sanitation Standard Operating Procedure (Sanitation SOP) procedures, HACCP 01 procedures, or Food Defense 08 procedures that inspection program personnel are not to perform on the day that they complete the new profile extension, update an existing profile extension, or survey.


D. Inspection program personnel are to:

1. gather relevant information to complete the profile extension or survey;
2. complete the profile extension or survey; and
3. record result code "U-Performed PE/Survey" under the procedure codes listed in the e-mail or PBIS alert that were not to be performed.

For example, when an inspector receives an e-mail or PBIS alert to update the food defense plan profile extension, he or she will:

- review the written food defense plan and update the responses in the food defense profile extension;
- record code "3-Not Performed, Other" for the scheduled 04 procedures, if any, that were replaced by the 08 procedure; and
- record result code "U-Performed PE/Survey" for the 08 procedures listed in the e-mail or alert.

## V. **HELP MENU AND TECHNICAL ASSISTANCE**

Built into the PBIS application is a **HELP** menu option. This **HELP** menu contains a PBIS User's Guide with instructions on using the system and other information about the PBIS application. Onscreen help is available throughout PBIS by clicking the question mark in the small yellow box. 

Inspection program personnel with technical PBIS questions, or who experience technical problems, should contact the FAIM Help Desk at 1-800-473-9135. Those with policy-related questions should contact the Technical Service Center at 1-800-233-3935.

A handwritten signature in black ink, appearing to read "Mary S. Dwyer". The signature is written in a cursive, flowing style.

Assistant Administrator  
Office of Policy, Program, and Employee Development